

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**PATENT**

Application of: Kee-Woung KIM *et al.*

Application No.: Not Yet Assigned

Group Art Unit: Not yet assigned

Filed: December 3, 2001

Examiner: Not yet assigned

For: PERSONALIZED INVESTMENT  
CONSULTING SYSTEM IMPLEMENTED  
ON NETWORK AND METHOD FOR THE  
SAME

Attorney Docket No.: 10969-006



**INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR 1.97(b)**

Assistant Commissioner for Patents  
**BOX PATENT APPLICATION**  
Washington, D.C. 20231

Sir:

Applicant requests that the references listed on the enclosed Form PTO-1449 be entered and made of record in the present application. A copy of the International Search Report (ISR) in PCT/KR00/01441 is also enclosed. Please note that WO9618162, listed on the ISR is substantially similar to USP 5,644,727.

As this statement is being submitted before the first Office Action or within three months of the filing date, no fee is believed to be due. Should any fees be required, please charge it to Pennie & Edmonds LLP's Deposit Account No. 16-1150.

Respectfully submitted,

Date December 3, 2001

For: Nanda K. Alapati  
Marcia H. Sundeen

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Enclosures

## LIST OF REFERENCES CITED BY APPLICANT

(Use several sheets if necessary)

ATTY. DOCKET NO.

10969-006

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GROUP

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## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	4,953,085	8/28/90	Atkins			
	AB	5,644,727	7/1/97	Atkins			
	AC	5,918,217	06/99	Maggioncalda			
	AD	6,012,044	01/00	Maggioncalda			
	AE	6,021,397	02/00	Jones			
	AF	6,125,355	09/00	Bekaert			
	AG	6,292,787 B1	09/01	Scott			
	AH						
	AI						

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	AJ	WO 9404979	3/3/94	WIPO				
	AK	JP 9-289116	4/23/99	Japan				X
	AL							
	AM							
	AN							
	AO							

## OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)

	AP	International Search Report - PCT/KR00/01441; dated 3/30/01
	AQ	
	AR	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.